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PTO/SB/21 (6-98)
Approved for use through 09/30/2000. OMB 0651-0031
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application Number

09/886,296

Filing Date

June 21, 2001

First Named Inventor

Thomas E. TARARA

Group Art Unit

1615

Examiner Name

Total Number of Pages in This Submission

12

Attorney Docket Number

0054.10

ENCLOSURES (check all that apply)

☐ Fee Transmittal Form

☐ Fee Attached

☐ Amendment / Response

☐ After Final

☐ Affidavits/declaration(s)

☐ Extension of Time Request

☐ Express Abandonment Request

☒ Information Disclosure Statement

☐ Certified Copy of Priority Document(s)

☐ Response to Missing Parts/ Incomplete Application

☐ Response to Missing Parts under 37 CFR 1.52 or 1.53

☐ Assignment Papers (for an Application)

☐ Drawing(s)

☐ Licensing-related Papers

☐ Petition Routing Slip (PTO/SB/69) and Accompanying Petition

☐ Petition to Convert to a Provisional Application

☐ Power of Attorney, Revocation Change of Correspondence Address

☐ Terminal Disclaimer

☐ Small Entity Statement

☐ Request for Refund

☐ After Allowance Communication to Group

☐ Appeal Communication to Board of Appeals and Interferences

☐ Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)

☐ Proprietary Information

☐ Status Letter

☒ Additional Enclosure(s) (please identify below):

PTO FORM SB/08A

Remarks

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name

Michael J. Rafa; Inhale Therapeutic Systems, Inc.

Signature

Michael J. Rafa

Date

7/13/01

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date: 07/13/2001

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BY: Karen J. Moir
Karen J. Moir

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:)
)
Thomas E. Tarara et al.)
)
Application No.: 09/886,296)
)
Filed: June 21, 2001)
)
For: Engineered Particles and Methods of Use)

Examiner: Unassigned

Art Unit: 1615

INFORMATION DISCLOSURE
STATEMENT UNDER
37 CFR §1.97 (c) AND §1.98

Assistant Commissioner for Patents
Washington D.C. 20231

Sir:

The references cited on attached form PTO-SB/08A are being called to the
attention of the Examiner. Copies of the references have not been provided herein and
copies may be found in prior application serial number 09/219,736, filed
December 22, 1998, relied upon in the instant application for an earlier filing date under
35 U.S.C. 120.

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It is respectfully requested that the cited information be expressly considered during the prosecution of this application, and the references be made of record herein and appear among the "references cited" on any patent to issue therefrom.

No fee is required for this filing. However, the Commissioner is authorized to charge any additional fees or credit any overpayment to Deposit Account Number 500348.

Respectfully submitted,

Michael J. Rafa

Registration No. 38,740

INHALE THERAPEUTIC SYSTEMS, INC.
150 Industrial Road
San Carlos, California 94070
Tel: (650) 631-5053
Fax: (650) 631-3125

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PTO/SB/08A (10-96)
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Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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Substitute for form 1449A/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet 1 of 9

Complete if Known

Application Number	09/886,296
Filing Date	06/21/2001
First Named Inventor	Thomas E. TARARA
Group Art Unit	1615 1616
Examiner Name	BAWA
Attorney Docket Number	0054.10

U.S. PATENT DOCUMENTS

Examiner Initials ¹	Cite No. ¹	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code ² (if known)			
	1	4,397,799		Edgren et al.	08/09/1983	
HA	2	5,855,913		Hanes et al.	01/05/1999	
HA	3	5,308,620		Yen	05/03/1994	
	4	5,616,311		Yen	04/01/1997	
	5	5,898,028		Jensen et al.	04/27/1999	
	6	5,654,007		Johnson et al.	08/05/1997	
HA	7	5,667,809		Trevino et al.	09/16/1997	
	8	5,770,585		Kaufman et al.	06/23/1998	
HA	9	5,605,673		Schutt et al.	02/25/1997	
	10	5,562,608		Sekins et al.	10/08/1996	
	11	5,770,187		Hasebe et al.	06/23/1998	
	12	5,766,573		Purewal et al.	06/16/1998	
	13	5,755,218		Johansson et al.	05/26/1998	
	14	5,744,123		Akehurst et al.	04/28/1998	
	15	5,743,252		Rubsamen et al.	04/28/1998	
HA	16	5,743,250		Gonda et al.	04/28/1998	
	17	5,741,522		Violante et al.	04/21/1998	
	18	5,741,478		Osborne et al.	04/21/1998	
	19	5,506,203		Backstrom et al.	04/09/1996	
	20	5,736,124		Akehurst et al.	04/07/1998	

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		Office ³	Number ⁴	Kind Code ⁵ (if known)				
	99	WO	96/26746			09/06/1996		
	100	WO	98/08519			03/05/1998		
	101	WO	98/05302			02/12/1998		
	102	WO	98/01161			01/15/1998		
	103	WO	97/44013			11/27/1997		
	104	WO	97/44012			11/27/1997		
	105	WO	98/17257			04/30/1998		
	106	WO	97/36578			10/09/1997		
HA	107	WO	97/36574			10/09/1997		
	108	WO	97/35562			10/02/1997		

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**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

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Sheet 2 of 9

Complete if Known

Application Number	09/886,296
Filing Date	06/21/2001
First Named Inventor	Thomas E. TARARA
Group Art Unit	1615
Examiner Name	
Attorney Docket Number	0054.10

U.S. PATENT DOCUMENTS

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		Number	Kind Code ² (if known)			
	21	5,735,263		Rubsamen et al.	04/07/1998	
	22	5,725,871		Illum	03/10/1998	
	23	5,744,166		Illum	04/28/1998	
	24	5,725,841		Duan et al.	03/10/1998	
	25	5,724,957		Rubsamen et al.	03/10/1998	
	26	5,720,940		Purewal et al.	02/24/1998	
	27	5,718,222		Lloyd et al.	02/17/1998	
	28	5,718,921		Mathiowitz et al.	02/17/1998	
	29	5,707,352		Sekins et al.	01/13/1998	
	30	5,695,744		Neale et al.	12/09/1997	
	31	5,695,743		Purewal et al.	12/09/1997	
	32	5,690,954		Illum	11/25/1997	
	33	5,688,782		Neale et al.	11/18/1997	
	34	5,683,677		Purewal et al.	11/04/1997	
	35	5,683,676		Akehurst et al.	11/04/1997	
	36	5,681,545		Purewal et al.	10/28/1997	
	37	5,676,929		Akehurst et al.	10/14/1997	
	38	5,674,473		Purewal et al.	10/07/1997	
	39	5,674,472		Akehurst et al.	10/07/1997	
	40	5,674,471		Akehurst et al.	10/07/1997	

FOREIGN PATENT DOCUMENTS

Examiner Initials [*]	Cite No. ¹	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Office ³	Number ⁴	Kind Code ⁵ (if known)				
	109	WO	96/19968			07/04/1996		
	110	WO	96/19198			06/27/1996		
	111	WO	96/19197			06/27/1996		
	112	WO	96/18388			06/20/1996		
	113	WO	96/15814			05/30/1996		
	114	WO	96/09814			04/04/1996		
	115	WO	95/23613			09/08/1995		
	116	WO	95/31964			11/30/1995		
	117	WO	95/31182			11/23/1995		
	118	WO	95/27476			10/19/1995		

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STATEMENT BY APPLICANT**

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Sheet 3 of 9

Complete if Known

Application Number	09/886,296
Filing Date	06/21/2001
First Named Inventor	Thomas E. TARARA
Group Art Unit	1615
Examiner Name	
Attorney Docket Number	0054.10

U.S. PATENT DOCUMENTS

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		Number	Kind Code ² (if known)			
	41	5,658,549		Akehurst et al.	08/19/1997	
	42	5,653,962		Akehurst et al.	08/05/1997	
	43	5,635,161		Adjei et al.	06/03/1997	
	44	5,635,159		Fu Lu et al.	06/03/1997	
	45	5,605,674		Purewal et al.	02/25/1997	
	46	5,580,575		Unger et al.	12/03/1996	
	47	5,569,450		Duan et al.	10/29/1996	
	48	5,518,731		Meadows	05/21/1996	
	49	5,518,709		Sutton et al.	05/21/1996	
	50	5,518,998		Backstrom et al.	05/21/1996	
	51	5,492,688		Byron et al.	02/20/1996	
	52	5,490,498		Faithfull et al.	02/13/1996	
	53	5,474,759		Fassberg et al.	12/12/1995	
	54	5,470,885		Fuhrman et al.	11/28/1995	
	55	5,437,272		Fuhrman	08/01/1995	
	56	5,376,359		Johnson	12/27/1994	
	57	5,348,730		Greenleaf et al.	09/20/1994	
	58	5,299,566		Davis et al.	04/05/1994	
	59	5,284,656		Platz et al.	02/08/1994	
	60	5,260,306		Boardman et al.	11/09/1993	

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		Office ³	Number ⁴	Kind Code ⁵ (if known)				
	119	WO	95/24892			09/21/1995		
	120	WO	95/17195			06/29/1995		
	121	WO	95/15118			06/08/1995		
	122	WO	94/08627			04/28/1994		
	123	WO	93/14172			07/22/1993		
	124	WO	93/11745			06/24/1993		
	125	WO	93/11744			06/24/1993		
	126	WO	92/14444			09/03/1992		
	127	WO	91/12823			09/05/1991		
	128	EP	0658101			06/21/1995		

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Sheet 4 of 9

Complete if Known

Application Number	09/886,296
Filing Date	06/21/2001
First Named Inventor	Thomas E. TARARA
Group Art Unit	1615
Examiner Name	
Attorney Docket Number	0054.10

U.S. PATENT DOCUMENTS

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		Number	Kind Code ² (if known)			
	61	5,230,884		Evans et al.	07/27/1993	
	62	5,225,183		Purewal et al.	07/06/1993	
	63	5,208,226		Palmer	05/04/1993	
	64	5,190,029		Byron et al.	03/02/1993	
	65	5,182,097		Byron et al.	01/26/1993	
	66	5,173,298		Meadows	12/22/1992	
	67	5,126,123		Johnson	06/30/1992	
	68	5,118,494		Schultz et al.	06/02/1992	
	69	5,011,678		Wang et al.	04/30/1991	
	70	4,590,206		Forrester et al.	05/20/1986	
	71	5,653,961		McNally et al.	08/05/1997	
	72	5,770,559		Manning et al.	06/23/1998	
	73	5,770,222		Unger et al.	06/23/1998	
	74	5,747,445		Backstrom et al.	05/05/1998	
	75	5,830,853		Backstrom et al.	11/03/1998	
	76	5,874,063		Briggner et al.	02/23/1999	
	77	5,254,330		Ganderton et al.	10/19/1993	
	78	5,891,844		Hafner	04/06/1999	
	79	4,904,479		Illum	02/27/1990	
	80	5,804,212		Illum	09/08/1998	

FOREIGN PATENT DOCUMENTS

Examiner Initials ¹	Cite No. ¹	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Office ³	Number ⁴	Kind Code ⁵ (if known)				
	129	EP	0616525			09/27/1995		
	130	EP	0605578			01/10/1996		
	131	EP	0588897			02/28/1996		
	132	EP	0587790			01/03/1996		
	133	EP	0556256			08/30/1995		
	134	EP	0553298			11/17/1994		
	135	EP	0536235			01/22/1997		
	136	EP	0536204			04/06/1994		
	137	EP	0513127			07/19/1995		
	138	EP	0499344			10/11/1995		

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Sheet 5 of 9

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Application Number	09/886,296
Filing Date	06/21/2001
First Named Inventor	Thomas E. TARARA
Group Art Unit	1615
Examiner Name	
Attorney Docket Number	0054.10

U.S. PATENT DOCUMENTS

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		Number	Kind Code ² (if known)			
	81	5,863,554		Illum	01/26/1999	
	82	5,756,104		de Haan et al.	05/26/1998	
	83	5,612,053		Baichwal	03/18/1997	
	84	5,817,293		Akehurst et al.	10/06/1998	
	85	5,308,620		Yen	05/03/1994	
	86	5,616,311		Yen	04/01/1997	
	87	5,547,656		Unger	08/20/1996	
<input checked="" type="checkbox"/>	88	5,830,430		Unger et al.	11/03/1998	
	89	5,814,607		Patton	09/29/1998	
	90	5,855,913		Hanes et al.	01/05/1999	
	91	5,874,064		Edwards et al.	02/23/1999	
	92	5,856,367		Barrows et al.	01/05/1999	
	93	5,811,406		Szoka Jr. et al.	09/22/1998	
	94	5,858,784		Debs et al.	01/12/1999	
	95	5,820,883		Tice et al.	10/13/1998	
	96	3,014,844		Thiel et al.	12/26/1961	
	97	4,818,542		DeLuca et al.	04/04/1989	
	98	5,069,936		Yen	12/03/1991	

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		Office ³	Number ⁴	Kind Code ⁵ (if known)				
	139	EP	0493437			08/02/1995		
	140	EP	0391896			03/02/1994		
	141	EP	0372777			01/07/1993		
	142	EP	0653205			05/17/1995		
	143	EP	0656206			06/07/1995		
	144	EP	0611567			08/24/1994		
	145	EP	0274431			07/13/1988		
	146	EP	2136704			05/28/1995		
	147	EP	0655237			05/31/1995		
	148	CA	2036844			08/23/1991		

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Sheet 6 of 9

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First Named Inventor	Thomas E. TARARA
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		Office ³	Number ⁴	Kind Code ⁵ (if known)				
/	149	WO	98/33487			08/06/1998		
BL	150	WO	98/31346	/		07/23/1998		
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	152	WO	98/30207			07/16/1998		
	153	WO	98/13031			04/02/1998		
	154	WO	95/00128			01/05/1995		
	155	WO	96/19199			06/27/1996		
	156	WO	98/29099			07/09/1998		
	157	WO	99/06026			02/11/1999		
	158	WO	97/03649			02/06/1997		

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¹ Unique citation designation number. ² See attached Kinds of U.S. Patent Documents. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

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Sheet 7 of 9

Application Number	09/886,296
Filing Date	06/21/2001
First Named Inventor	Thomas E. TARARA
Group Art Unit	1615
Examiner Name	
Attorney Docket Number	0054.10

[illegible]

FOREIGN PATENT DOCUMENTS								
Examiner Initials*	Cite No. ¹	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Office ³	Number ⁴	Kind Code ⁵ (if known)				
/	159	WO	92/18164			10/29/1992		
<i>W</i>	160	WO	97/40819			11/06/1997		
	161	WO	91/11173			08/08/1991		
	162	WO	92/00107			01/09/1992		
	163	WO	96/32149			10/17/1996		
	164	WO	96/40068			12/19/1996		
	165	WO	97/41833			11/13/1997		
	166	WO	98/16205			04/23/1998		
	167	WO	98/29098			07/09/1998		
	168	WO	98/29140			07/09/1998		

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Sheet 8 of 9

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Examiner Initials*	Cite No. ¹	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T8
		Office ³	Number ⁴	Kind Code ⁵ (if known)				
	169	WO	95/05194			02/23/1995		
	170	WO	98/29097			07/09/1998		
	171	WO	98/00111			01/08/1998		
	172	WO	91/04011			04/04/1991		
	173	EP	0539522			12/30/1998		
	174	WO	98/41188			09/24/1998		
	175	WO	92/11050			07/09/1992		
	176	WO	91/16882		LIPOSOME TECHNOLOG	11/14/1991		
	177	WO	99/32083		QUADRANT	07/01/1999		

Examiner Signature		Date Considered	
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Application Number

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Filing Date

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First Named Inventor

Thomas E. TARARA

Group Art Unit

1615

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